

03-05-02

A/1 Box
seg.

03/02/02

1c355 U.S. PTO

TRANSMITTAL OF UTILITY PATENT APPLICATION FOR FILING

Certification under 37 CFR 1.10 (if applicable)

EL859243830US

March 1, 2002

"Express Mail" mailing label number

Date of Deposit

I hereby certify that this Transmittal letter, enclosed application, and any other documents referred to as enclosed herein, are being deposited in an envelope with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and addressed to: Box Patent Application, Commissioner for Patents, Washington, D.C. 20231.

Cedric Rodgers

(Typed or printed name of person mailing application)

(Signature of person mailing application)

BOX PATENT APPLICATION
COMMISSIONER FOR PATENTS
Washington, D.C. 20231

Attorney Docket No. TSRI-830.0

Customer Number 002387

Sir:

Transmitted herewith for filing is the utility patent application of inventor(s): **Rong Xiang and Ralph A. Reisfeld**
and entitled: **DNA VACCINES ENCODING CEA AND A CD40 LIGAND AND METHODS OF USE THEREOF**

1. Type Of Application

This application is:

- ☒ an original (nonprovisional) application.
☐ a division of prior application Serial No. _____
☐ a continuation of prior application Serial No. _____
☐ a continuation-in-part of prior application Serial No. _____

☐ The entire disclosure of the prior application is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

☐ The prior application is assigned of record to: _____

2. Enclosed Application Elements are:

- ☒ A duplicate copy of this transmittal letter,
☒ specification (including claims and abstract) containing pages 1- 32 ;

☒ drawings: ☐ 1 copy of _____ sheet(s) of formal drawings, OR
☒ 1 copy of nine (9) sheet(s) of informal drawings,
☐ an executed declaration or oath for the utility patent application including a power of attorney, OR
☒ an unexecuted declaration or oath for the utility patent application including a power of attorney, OR
☐ a copy of an executed declaration or oath including power of attorney from a priority application,
☐ statement deleting inventor(s) named in the priority application
☐ Microfiche Computer Program
☒ nucleotide and/or amino acid sequence
a. ☒ computer readable copy
b. ☒ paper copy
c. ☒ statement verifying above copies

TRANSMITTAL OF UTILITY PATENT APPLICATION FOR FILING
Page 2

3. Enclosed Accompanying Application Parts are:

- ☐ Preliminary Amendment
☐ Claim cancellations are indicated in Preliminary Amendment
☒ one itemized, stamped, and self-addressed postcard for the PTO Mail Room date stamp.
☐ English translation document
☐ Information Disclosure Statement including Form PTO-1449 and copies of the citations therein.

4. Small entity status

☐ Applicant claims small entity status. See 37 CFR 1.27.

5. Filing Fees (as calculated below)

For:	(Col. 1)	(Col. 2)	Rate	Fee
	Number Filed	Number Extra		
Basic Fee				\$ 740
Total Claims	35 — 20	= 15	x \$ 18 =	\$ 270
Independent Claims	3 — 3	= 0	x \$ 84 =	\$ 0
Multiple Dependent Claim Presented (if applicable)			+ \$280 =	\$ N/A
Subtotal				\$ 1010
Reduction by 50% for filing by small entity				\$ -0-
TOTAL				\$ 1010

* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

- ☐ Please charge my Deposit Account No. 15-0508 in the amount of \$_____.
- ☒ A check in the amount of \$ 1,010.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is authorized to charge payment of the following amounts associated with this communication or credit any overpayment to Deposit Account No. 15-0508:
- ☒ Additional filing fees under 37 CFR 1.16 or deficiencies in remittances therefor.
- ☒ Additional processing fees under 37 CFR 1.17 or deficiencies in remittances therefor.
- ☒ **ONLY if applicant has partially paid** the patent issue fee under 37 C.F.R. §1.18, then the deficiency shall be charged to Deposit Account No. 15-0508, and the Commissioner is authorized to so charge the Deposit Account.
- ☒ The Commissioner is hereby generally authorized under 37 CFR 1.136(a)(3) to treat any future reply in this or any related application filed pursuant to 37 CFR 1.53 requiring an extension of time as incorporating a request therefor, and the Commissioner is hereby specifically authorized to charge Deposit Account No. 15-0508 for any fee that may be due in connection with such a request for an extension of time.

Date: March 1, 2002

Attorney's Signature

Name and Registration No. Talivaldis Cepurdis (Reg. No. 20,818)

Correspondence Address:

OLSON & HIERL, LTD.
20 North Wacker Drive
36th Floor
Chicago, Illinois 60606
Telephone: (312) 580-1180